

MANAGEMENT AND SERVICES DIRECTORATE
PROGRAM AND PERFORMANCE EVALUATION SYSTEM

1. Performance evaluation is a key element of the Agency management system. Last February the Management Committee approved a memorandum submitted by the Executive Secretary which said, "Evaluation systems....must be established within the Directorates to measure the degree of accomplishment of the Director's and Deputy Directors' objectives. These evaluation systems will provide for systematic evaluation by line managers of the effectiveness of their programs, plus independent review at the Deputy Director and Director level. These evaluation systems must be translatable into comparative indicators of achievement or non-achievement of objectives...." In January 1973, the Executive Director-Comptroller issued a paper under the title, "Evaluation Systems", which said in part: "A fundamental principle is unit self-evaluation, conjoint with external review at next higher management level. Evaluation, as part of line management responsibility, should be useful and valuable to the line manager - Branch, Office, Directorate. If it is not, then the system has been poorly designed. In this concept, each component is required to compare its own performance and progress with its own objectives, and make its own evaluations. Progress reports and/or briefings reflecting achievement and shortfall with respect to objectives are prepared in sufficient factual detail that, when combined with additional information acquired by or available to the next higher review body, the latter is then able to arrive at an independent appraisal, either validating or amending the unit self-evaluation."

"Offices....are the first level for formal performance evaluation. Offices....will need to concern themselves with all three aspects of performance, effectiveness (outputs and their value to customers), product quality, and efficiency (productivity). Offices....will find it necessary to develop or improve internal reporting and review procedures.

".... Directorates will be expected to establish or improve Directorate level review bodies:

"a. The Directorate review staff (i.e., the DD/M&S Plans Staff) will assemble, summarize and analyze data for the Deputy Director concerning

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performance (degree and quality of achievement) with respect to Directorate and DCI objectives.

"b. The Directorate staff will, in conjunction with Offices, establish the specifications and requirements for performance reporting and review from the Offices, in a fashion to display comparability of effectiveness against objectives.

"c. The Directorate staff will be charged with the responsibility for analysis and for other research and development related to evaluation and measurement techniques, and with the introduction of new methods and techniques as are feasible and appropriate."

2. Each Office Director in the Management and Services Directorate is expected to establish an internal evaluation and reporting system which will satisfy his internal requirements and responsibilities for monitoring and controlling progress toward the achievement of objectives in conformance with action plans.

3. The Management and Services Directorate evaluation system comprises three major elements:

a. Bimonthly management conferences for oral reporting by Office Directors to the DD/M&S.

b. Bimonthly written reports to be submitted to the DD/M&S Plans Staff five (5) working days before the scheduled oral report by the Office Director.

c. Periodic ad hoc inquiry, design and implementation of certain program impact evaluations, and review of progress and work plans by the DD/M&S Plans Staff in cooperation with the responsible planning elements in each Office.

4. Bimonthly management reports and conferences are intended to enable the Office Director and the DD/M&S to:

a. Review regularly the progress of the Office toward the achievement of its objectives.

b. Determine whether the established objectives continue to be of high priority.

c. Identify areas where corrective action is or will be necessary to meet a milestone or achieve an objective; assign specific responsibility for carrying out the corrective action; and insure that such action is taken.

d. Evaluate the performance of the people responsible for the achievement of an objective in relation to meeting key milestones and achieving objectives.

e. Discuss in a non-crisis atmosphere all areas of management concern. For example, discussion might center on the need for reallocation of manpower or dollar resources, reordering of priorities within the Office, program budget execution to date, productivity measurement and so forth.

The most important result of these bimonthly management conferences is to identify and resolve management problems. Unless corrective action arises from them, we will have failed to use the M&S Evaluation System as an effective control system. In order to maintain the bimonthly conference schedule, the DD/M&S will meet each week with two or three Office Directors.

5. Five working days before a management conference, the Office Director will submit to the Chief, DD/M&S Plans Staff:

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- a. status reports on all objectives;
 - b. a list of topics which the Office Director believes should be discussed;
 - c. issues which relate to the accomplishment of operational objectives;
 - d. a description of each issue and what decision, if any, is expected from the DD/M&S; and
 - e. other items of special interest to the Office Director or the DD/M&S.

After consultation with the DD/M&S, the Chief, Plans Staff will notify the Office Director of any substitute or additional topics the DD/M&S wishes to discuss. The revised list of topics will serve as the agenda for the management conference. After each conference, the Chief, Plans Staff will furnish a report on the conference to the DD/M&S and the participating Office Director.

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6. Generally, the status reports will follow the format of the action plans. The format for reporting on the status of a given objective should remain consistent throughout the year. Lengthy narratives are not desired. If a milestone is accomplished on time and no problems are anticipated with future steps, a simple statement to that effect will suffice. If a milestone has not been completed as scheduled, or future milestones are not likely to be completed as scheduled, the reasons for the shortfall should be stated briefly and a new date should be set. Progress toward the achievement of milestones and objectives will be rated on a four point scale, as follows:

a. + - the activity is measurably exceeding planned performance levels;

b. = - the activity or project is meeting planned performance levels;

c. ± - the activity or project is not meeting planned or anticipated performance levels due to reasons and factors (technological, operational, etc.) beyond the control of the Agency;

d. ≠ - the activity is not meeting planned performance levels for reasons over which Agency management has some control.

// Several sample formats suggesting the form and content of status reports are attached.

7. If the Office Director considers the problems or reasons causing the shortfall to be of sufficient importance, he should include the objective/milestone on his list of topics to be discussed with the DD/M&S during the management conference (i.e., see paragraph 5c and 5d above). It was mentioned earlier that the most important result of these bimonthly management conferences is to identify and resolve management problems. The management conference is designed to help Office Directors advance toward the achievement of their objectives. The management conference is also designed to be a forum for raising and discussing issues. Discussion of such issues should lead to joint action by the DD/M&S and the Office Director(s) to remove impediments to the achievement of approved objectives and resolution of problems.

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not tied to specific objectives. The DD/M&S will provide assistance in resolving intra-Directorate and inter-Directorate problems of a general nature and those impeding the achievement of approved objectives.

8. Significant substantive revisions or modifications of objectives or action plans must be approved by the DD/M&S. Revisions to clarify the way an objective or milestone is stated without changing the substance, or to add more specific milestones without changing the overall timing, may be approved by the Office Director. If you should make such changes, please notify the DD/M&S Plans Staff. Occasionally budgetary changes, new legislation, or new OMB or Agency initiatives will require modification of Office objectives. In such cases, Office Directors should submit a new statement of objectives to the DD/M&S for approval to be added to the list of objectives for that Office or to be substituted for an existing objective of lesser importance. From time to time it may be necessary to revise an objective because the Office will not be able to achieve the original objective during the fiscal year. In such cases new objectives may be submitted to the DD/M&S for approval and, if approved, will be monitored for the remainder of the year. Office Directors will be held accountable for achievement of new objectives, but performance evaluations at ensuing reporting periods will take into account slippages in the originally stated objective as well as the factors which caused the slippage and restatement of the objective.

9. Annual performance evaluations will be incorporated in the Office's annual report in compliance with instructions issued annually.

10. In addition to normal business, the bimonthly management conference to be held in December will focus on Deputy Director objectives for the next two fiscal years (e.g., FY 1975 and FY 1976). During the February bimonthly management conference, detailed Office level objectives in support of DCI, Deputy Director and your own independent objectives should be presented for approval. Action plans should accompany the statements of objectives. Action plans will be approved simultaneously with the objectives.

11. Bimonthly management conferences will be held at 1330 in the DD/M&S Conference Room. The schedule for the FY 1974 conferences is as follows:

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a. Office of Security -

7 August 1973	5 February 1974
2 October 1973	2 April 1974
4 December 1973	4 June 1974

b. Office of Training -

9 August 1973	7 February 1974
4 October 1973	4 April 1974
6 December 1973	6 June 1974

c. Office of Medical Services -

14 August 1973	12 February 1974
9 October 1973	9 April 1974
11 December 1973	11 June 1974

d. Historical Staff -

15 August 1973	13 February 1974
10 October 1973	10 April 1974
12 December 1973	12 June 1974

e. Office of Personnel -

16 August 1973	14 February 1974
11 October 1973	11 April 1974
13 December 1973	13 June 1974

f. Office of Finance -

21 August 1973	19 February 1974
16 October 1973	16 April 1974
18 December 1973	18 June 1974

g. Special Assistant for Information Control -

22 August 1973	20 February 1974
17 October 1973	17 April 1974
19 December 1973	19 June 1974

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h. Office of Logistics -

23 August 1973	21 February 1974
18 October 1973	18 April 1974
20 December 1973	20 June 1974

i. Office of Communications (includes [REDACTED] 25X1A6a

28 August 1973	26 February 1974
23 October 1973	23 April 1974
27 December 1973	25 June 1974

j. Office of Planning, Programming and Budgeting -

29 August 1973	27 February 1974
24 October 1973	24 April 1974
21 December 1973	26 June 1974

k. Office of Joint Computer Support (includes MAP) -

30 August 1973	28 February 1974
25 October 1973	25 April 1974
28 December 1973	27 June 1974

25X1A9a

[REDACTED]
HAROLD L. BROWMAN
Deputy Director
for
Management and Services

Atts.

Sample Formats

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The four exhibits in this attachment are suggested samples of ways to report on the status of action plans to support objectives. Should your Office prefer another way to provide the information displayed in the samples, you should feel free to use another format. The key point is to be consistent in the format you choose in reporting on a given action plan during the year.

Call on the DD/M&S Plans Staff if you need more information or guidance in carrying out this Administrative Instruction.

OBJECTIVE AND ACTION PLAN
FISCAL YEAR 19__

OFFICE : _____ ACCOUNTABLE OFFICER(S): _____

OBJECTIVE: _____

RESOURCES REQUIRED:

\$ _____
A.E. _____

OVERALL EVALUATION*
(Circle One)

STATUS REPORT FOR MONTHS OF: _____

+ = $\frac{a}{b}$ $\frac{c}{d}$

MILESTONES	COMPLETION DATES											
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun

*If overall evaluation is either $\frac{a}{b}$ or $\frac{c}{d}$, please complete Problem Analysis sheet.

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OBJECTIVE AND ACTION PLAN
FISCAL YEAR 19__

OFFICE : _____ ACCOUNTABLE OFFICER(S): _____

RESOURCES REQUIRED:

OBJECTIVE: _____

\$ _____
A.E. _____

OVERALL EVALUATION*
(Circle One)

STATUS REPORT FOR MONTHS OF: _____

+ = $\frac{\circ}{\circ}$ $\frac{\circ}{\circ}$ $\frac{\circ}{\circ}$ $\frac{\circ}{\circ}$

MILESTONES	Completion	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Ju
	Scheduled												
	Actual												
	Scheduled												
	Actual												
	Scheduled												
	Actual												
	Scheduled												
	Actual												
	Scheduled												
	Actual												
	Scheduled												
	Actual												
	Scheduled												
	Actual												
	Scheduled												
	Actual												

*If overall evaluation is either $\frac{\circ}{\circ}$ or $\frac{\circ}{\circ}$, please complete Problem Analysis Sheet.

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(When Filled In)

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OBJECTIVE AND ACTION PLAN
FISCAL YEAR 19__

OFFICE : _____ ACCOUNTABLE OFFICER(S): _____

OBJECTIVE:: _____

RESOURCES REQUIRED:

\$ _____
A.E. _____

OVERALL EVALUATION*
(Circle One)

STATUS REPORT FOR MONTHS OF: _____

+ = $\frac{+}{-}$ $\frac{-}{+}$

MILESTONES	Scheduled Completion Date (Day, Month, Year)	Actual Completion Date (Day, Month, Year)

*If overall evaluation is either $\frac{+}{-}$ or $\frac{-}{+}$, please complete Problem Analysis Sheet.

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FOR MONTHS OF _____, FY 19__

OVERALL EVALUATION: 2 or 7 (Circle One)

[illegible]